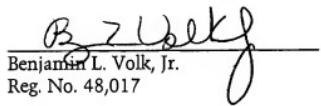


**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**CERTIFICATE OF ELECTRONIC FILING**

I hereby certify that this document is being electronically filed with the U.S. Patent and Trademark Office via the EFS Web on July 27, 2010.

  
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Benjamin L. Volk, Jr.

Reg. No. 48,017

In re application of:  
Tully et al.

Serial No.: 10/692,067 : Examiner: Johnson, Gregory L.

Filed: October 22, 2003 : Group Art Unit: 3691

For: System and Method for the Automated  
Brokerage of Financial Instruments :

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**Amendment and Response with Request for Continued Examination (RCE):**

In response to the Office Action dated October 28, 2009 and a Notice of Appeal filed April 27, 2010 and following Applicant's interview with the Examiner on July 8, 2010, Applicant submits the following amendment and remarks. A petition for an extension of time and the appropriate fee are included herewith.

**Amendments to the Claims** are reflected in the listing of claims which begins on page 2 of this paper.

Remarks begin on page 13 of this paper.